



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of Joshua T. Goodman, et al. Applicant: 10/601,034 Serial No.: June 20, 2003 Filed: **OBFUSCATION OF SPAM FILTER** For: Art Unit: 2153 Unknown Examiner: INFORMATION DISCLOSURE STATEMENT **Assistant Commissioner for Patents** Alexandria, Virginia 22313-1450 Sir: 1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120: Serial No.: Filing Date: Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise. 2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s): (a) ___Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report. (b) ___Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents". 3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked): Within 3 months of the filing date or date of entry into the National Stage. (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the

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	(c)	After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
	(1)	The required certification is given below, or
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	(a)	The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
	(b)T	he undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
5.	The Con No. 50-1	nmissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account 063.
		Respectfully Submitted,

Jeffrey R. Sadlowski Reg. No. 47,914

24TH Floor, National City Center 1900 East 9th Street Cleveland, Ohio 44114 (216) 696-8730

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I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Alexandria, Virginia 22313-1450.

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Jeffrey R. Sadlowski

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of

 Complete if Known

 Application Number
 10/601,034

 Filing Date
 June 20, 2003

 First Named Inventor
 Joshua T. Goodman, et al.

 Art Unit
 2153

 Examiner Name
 Unknown

 Attorney Docket Number
 MS303963.1/MSFTP439US

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (# known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	 	US- 6,161,130	12/12/2000	Horvitz, et al.	
			02/08/2000	McCormick, et al.	
	ļ	US- 6,023,723			
		^{US-} 6,003,027	12/14/1999	Prager	
	1 .	^{US-} 5,835,087	11/10/1998	Herz, et al.	
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	_	US- 5,377,354	12/27/1994	Scannel, et al.	
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		^{US-} 6,266,692	07-24-2001	Greenstein	
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		FORE	IGN PATENT DOCL	IMENTS		
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
	l	Country Code ³ Number ⁴ Kind Code ⁵ (if known)				—
		EP720 333	07/03/1996	AT&TCorp.		
		EP413 537	02/20/1991	Digital Equipment Int.		
		WO96/35994	11/14/1996	Compuserve, Inc.		
						<u> </u>

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Translation is attached.

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE ons are required to respond to a collection of information unless it contains a valid OMB control number. Under the Paperwork Redupti Complete if Known Substitute for form 1449/PTO **Application Number** 10/601,034 INFORMATION DISCLOSURE Filing Date June 20, 2003 STATEMENT BY APPLICANT **First Named Inventor** Joshua Ţ. Goodman, et al. Art Unit 2153 (Use as many sheets as necessary) **Examiner Name** Unknown **Attorney Docket Number** MS303963.1/MSFTP439US 4 Sheet 2 of

Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue	T ²
		number(s), publisher, city and/or country where published. CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11	
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
		DAPHNE KOLLER, et al.; "Hierarchically Classifying Doucments Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages	
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		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
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		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html	

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l	Examiner	Date	
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INFO	RMATION	DIS	CLOSURE	Filing Date	June 20, 2003	
STATEMENT BY APPLICANT				First Named Inventor	Joshua T. Goodman, et al.	
				Art Unit	2153	
	(Use as many she	ets as n	ecessary)	Examiner Name	Unknown	
Sheet	3	of	4	Attorney Docket Number	MS303963.1/MSFTP439US	

Examiner nitials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		MAKOTO IWAYAMA, et al.; "Hierarchical Bayesian Clustering for Automatic Text Classifiation"; Natural Language; 1995; pp. 1322-1327.	
		DAVID D. LEWIS; "An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task"; 15th Annual International SIGIR '92; Denmark 1992; pp. 37-50.	
		DAPHNE KOLLER, et al.; "Toward Optimal Feature Selection"; Machine Learning; Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.	
		DAVID DOLAN LEWIS; "Representation and Learning in Information Retrieval"; University of Massachusetts, 1992	
		TOM MITCHELL; "Machine Learning"; Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184	
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		JUHA TAKKINEN, et al.; "CAFE: A Conceptual Model for Managing Information in Electronic Mail"; Laboratory for Intelligent Information Systems, Department of Computer and Information Science, Linkoping University, Sweden, Conference on System Sciences, 1998 IEEE	
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		MEHRAN SAHAMI, et al., "A Bayesian Approach to Filtering Junk E-Mail"; Stanford University	

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		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		DAVID MADIGAN, "Statistics and The War on Spam," Rutgers University, pp. 1-13, 2003	
		PADRAIG CUNNINGHAM, et al., "A Case-Based Approach to Spam Filtering that Can Track Concept Drift," Trinity College, Dublin, Department of Computer Science, 5/13/03	
		MARK ROSEN, "E-mail Classification in the Haystack Framework," Massachusetts Institute of Technology, February, 2003	
		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, Dept. of Computer Science and Engineering, University of Texas-Arlington, 5 pages	
-		THORSTEN JOACHIMS, Transductive Inference for Text Classification Using Support Vector Machines, In Proceedings of the 16th International Conference on Machine Learning, 1999, pp. 200-209, San Francisco, USA	

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